

Date/Time Stamp:

# Employee Post-Travel Disclosure of Travel Expenses

**Post-Travel Filing Instructions:** Complete this form within 30 days of returning from travel. Submit all forms to the Office of Public Records in 232 Hart Building.

17 JUN -5 AM 10:03

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☒ The original *Employee Pre-Travel Authorization* (Form RE-1), AND  
☒ A copy of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): DTCC

Travel date(s): May 4-5

Name of accompanying family member (if any): none

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING DID NOT INCREASE DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

## Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input checked="" type="checkbox"/> Good Faith Estimate	566	220	60	
<input type="checkbox"/> Actual Amount				

## Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate				
<input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.): See final itinerary

6/5/17  
(Date)

David Simons  
(Printed name of traveler)

David Sim  
(Signature of traveler)

## TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

6.5.17  
(Date)

Thom Telli  
(Signature of Supervising Senator/Officer)

Date/Time Stamp:

## EMPLOYEE PRE-TRAVEL AUTHORIZATION

**Pre-Travel Filing Instructions:** Complete and submit this form at least 30 days prior to the travel departure date to the Select Committee on Ethics in SH-220. Incomplete and late travel submissions will not be considered or approved. This form must be typed and is available as a fillable PDF on the Committee's website at [ethics.senate.gov](http://ethics.senate.gov). Retain a copy of your entire pre-travel submission for your required post-travel disclosure.

David Simons

Name of Traveler: \_\_\_\_\_

Senator Thom Tillis

Employing Office/Committee: \_\_\_\_\_

Private Sponsor(s) (list all): DTCC

Travel date(s): May 4-5, 2017

*Note: If you plan to extend the trip for any reason you must notify the Committee.*

Destination(s): New York, NY

Explain how this trip is specifically connected to the traveler's official or representational duties:

This trip includes a series of roundtables and briefings by financial market industry leaders to learn about topics and trends in market functions and regulation. This staffer works on all of these issues directly with his work for the Senator and his activities on the Senate Committee on Banking, Housing, and Urban Affairs. *as legislative correspondent*

Name of accompanying family member (if any): No

Relationship to Employee: ☐ Spouse ☐ Child

I certify that the information contained in this form is true, complete and correct to the best of my knowledge:

4/4/17  
(Date)

*David Simons*  
(Signature of Employee)

TO BE COMPLETED BY SUPERVISING SENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Arms, Secretary for the Majority, Secretary for the Minority, and Chaplain):

I, Sen Tillis hereby authorize David Simons  
(Print Senator's/Officer's Name) (Print Traveler's Name)

an employee under my direct supervision, to accept payment or reimbursement for necessary transportation, lodging, and related expenses for travel to the event described above. I have determined that this travel is in connection with his or her duties as a Senate employee or an officeholder, and will not create the appearance that he or she is using public office for private gain.

I have also determined that the attendance of the employee's spouse or child is appropriate to assist in the representation of the Senate. (signify "yes" by checking box) ☐

4.4.17  
(Date)

*Thom Tillis*  
(Signature of Supervising Senator/Officer)

Form RE-1

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Securing Today. Shaping Tomorrow.®

Mark Wetjen  
Managing Director and Head of Global  
Public Policy

1455 Pennsylvania Ave NW  
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Washington, D.C. 20004  
Tel: 202.383.2675  
mwetjen@dtcc.com

March 24, 2017

David Simons  
Legislative Correspondent  
Sen. Tillis

Dear David,

On behalf of The Depository Trust & Clearing Corporation (DTCC), I would like to invite you to participate in the upcoming **Financial Markets Discussion Series** scheduled for May 5, 2017 in New York City. DTCC will partner with other industry leaders to provide you with informative panel discussions and interactive sessions touching on cutting-edge developments in the financial markets related to market structure, cybersecurity, and fintech, among others.

- WHAT:** Financial Markets Discussion Series
- WHO:** This event is designed for Congressional staffers who handle financial services policy for House Members, Senators, and relevant Congressional Committees.
- WHEN :** Thursday, May 4 (travel and overnight)  
Friday, May 5 (all-day event)
- WHERE:** 55 Water Street, 36<sup>th</sup> Floor  
New York, NY
- DETAILS:** The event will focus on current issues and updates impacting financial markets and will highlight topics such as:
- Market structure overview
  - Fintech developments
  - Cybersecurity challenges
  - Introduction to S&P Global

As in past years, DTCC has again partnered with **S&P Global and the InterContinental Exchange** to expand the scope of the discussion.

For those unfamiliar with DTCC, the event will provide an introduction to the critical role we play as the premier post-trade market infrastructure for the global financial services industry.

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*Travel and Hotel Arrangements (May 4 – May 5, 2017)*

DTCC will cover the cost of your train to/from New York City and hotel room the evening of Thursday, May 4. Accommodations can be made if participants prefer to travel via train the morning of Friday, May 5. Please find the necessary paperwork required for travel and working agenda outlining travel options attached. Please note that space is limited.

The House Ethics Committee and Senate Ethics Committee require a minimum of four weeks to process paperwork and grant approval for travel. Therefore, we are asking interested participants to RSVP to DTCC and have all forms submitted to Ethics **no later than April 4, 2017**.

To RSVP and coordinate travel arrangements, please contact:

- Katie Paisley at 202-383-2672 and [kpaisley@dtcc.com](mailto:kpaisley@dtcc.com)
- Ted Serafini at 202-383-2677 and [tserafini@dtcc.com](mailto:tserafini@dtcc.com)
- Brian Werstler at 202-383-2676 and [bwerstler@dtcc.com](mailto:bwerstler@dtcc.com)

*About DTCC*

With over 40 years of experience, DTCC is the premier post-trade market infrastructure for the global financial services industry. From operating facilities, data centers and offices in 16 countries, DTCC, through its subsidiaries, automates, centralizes and standardizes the post-trade processing of financial transactions, mitigating risk, increasing transparency and driving efficiency for thousands of broker/dealers, custodian banks and asset managers worldwide. Industry owned and governed, the firm simplifies the complexities of clearing, settlement, asset servicing, data management and information services across asset classes, bringing increased security and soundness to the financial markets. In 2015, DTCC's subsidiaries processed securities transactions valued at more than US\$1.5 quadrillion. Its depository provides custody and asset servicing for securities issues from over 130 countries and territories valued at US\$45.4 trillion. DTCC's global trade repository maintains approximately 40 million open OTC positions and processes roughly 280 million messages a week.

Sincerely,

Mark Wetjen  
Managing Director, Head of Global Public Policy

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## PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

- 
1. Sponsor(s) of the trip (please list all sponsors): DTCC
- 
2. Description of the trip: Senate and House staff will participate in a series of roundtables and briefings by financial market industry leaders to learn about topics and trends in market functions and regulation
- 
3. Dates of travel: May 4 - 5, 2017
- 
4. Place of travel: New York, NY
- 
5. Name and title of Senate invitees: See attached
- 
6. I *certify* that the trip fits one of the following categories:
- ☐ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal **and** do not retain or employ registered lobbyists or agents of a foreign principal **and** no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.
- [OR]**
- ☒ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
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7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
- [AND]**
- ☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
- 
8. I *certify* that:
- ☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.
- [AND]**
- ☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

- ☒ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

**OR**

- ☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (*see questions 6 and 10*).

**OR**

- ☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

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11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

DTCC planned the agenda, including inviting the participation of other industry members, and bore the full cost of travel and attendance for all Senate employees

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

DTCC is a user-owned and operated financial market utility with the mission of increasing efficiency and minimizing risk in the financial markets. DTCC's members and industry partners believe sharing information related to that mission with staff to policymakers serves to promote better public policy.

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

DTCC has sponsored a similar trip (destination NYC for Senate Banking, Ag, Commerce, and Approps staff) numerous times in the past, with the most recent trip occurring in March 2015.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

DTCC hosts educational conferences and events in New York and Washington, including briefings specifically tailored to the interests of Congressional staff on topics such as equity market structure, an introduction to clearing and settlement, and an introduction to distributed ledger technology

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate	\$350	\$189	\$60	N/A
<input type="checkbox"/> Actual Amounts				

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

B) - this trip is arranged specifically with regard to congressional participation

18. Reason for selecting the location of the event or trip

Site of DTCC's corporate headquarters

19. Name and location of hotel or other lodging facility:

DoubleTree New York Financial District

20. Reason(s) for selecting hotel or other lodging facility:

Combination of best rate within proximity to event location

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

The anticipated lodging and meal costs are less than the maximum per diem rates for official travel for NY

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Business-class (lowest fare available) Acela ticket

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

N/A

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor: \_\_\_\_\_

Name and Title: Mark Wetjen, Managing Director and Head of Global Public Policy

Name of Organization: DTCC

Address: 1455 Pennsylvania Ave, NW Suite 725 Washington, DC 20004

Telephone Number: 202-383-2675

Fax Number: \_\_\_\_\_

E-mail Address: mwetjen@dtcc.com



## DTCC Financial Markets Discussion Series

May 4-5, 2017

Name	Office	Title	Email
<b>Senate</b>			
1 Gregg Richard	Senate Banking	Staff Director	<a href="mailto:gregg_richard@banking.senate.gov">gregg_richard@banking.senate.gov</a>
2 Elad Roisman	Senate Banking	Chief Counsel	<a href="mailto:elad_roisman@banking.senate.gov">elad_roisman@banking.senate.gov</a>
3 Joe Carapiet	Senate Banking	Senior Counsel	<a href="mailto:joe_carapiet@banking.senate.gov">joe_carapiet@banking.senate.gov</a>
4 Beth Zorc	Senate Banking	Senior Counsel	<a href="mailto:beth_zorc@banking.senate.gov">beth_zorc@banking.senate.gov</a>
5 Jonathan McKernan	Sen. Corker	Legislative Assistant	<a href="mailto:jonathan_mckernan@corker.senate.gov">jonathan_mckernan@corker.senate.gov</a>
6 Douglas Sellers	Sen. Corker	Legislative Aide	<a href="mailto:douglas_sellers@corker.senate.gov">douglas_sellers@corker.senate.gov</a>
7 Geoff Okamoto	Sen. Toomey	Subcommittee Staff Director	<a href="mailto:geoffrey_okamoto@toomey.senate.gov">geoffrey_okamoto@toomey.senate.gov</a>
8 John Crews	Sen. Toomey	Legislative Aide	<a href="mailto:john_crews@toomey.senate.gov">john_crews@toomey.senate.gov</a>
9 Scott Riplinger	Sen. Heller	Legislative Assistant	<a href="mailto:scott_riplinger@heller.senate.gov">scott_riplinger@heller.senate.gov</a>
10 Ammon Simon	Sen. Sasse	Counsel	<a href="mailto:ammon_simon@sasse.senate.gov">ammon_simon@sasse.senate.gov</a>
11 Andrew Rothe	Sen. Rounds	Senior Legislative Assistant	<a href="mailto:andrew_rothe@rounds.senate.gov">andrew_rothe@rounds.senate.gov</a>
12 Gerald Huang	Sen. Perdue	Legislative Assistant	<a href="mailto:gerald_huang@perdue.senate.gov">gerald_huang@perdue.senate.gov</a>
13 David Simons	Sen. Tillis	Legislative Correspondent	<a href="mailto:david_simons@tillis.senate.gov">david_simons@tillis.senate.gov</a>
14 Graham Steele	Senate Banking	Chief Counsel	<a href="mailto:graham_steele@banking.senate.gov">graham_steele@banking.senate.gov</a>
15 Elisha Tuku	Senate Banking	Senior Counsel	<a href="mailto:elisha_tuku@banking.senate.gov">elisha_tuku@banking.senate.gov</a>
16 Megan Cheney	Senate Banking	Legislative Assistant	<a href="mailto:megan_cheney@banking.senate.gov">megan_cheney@banking.senate.gov</a>
17 James Ahn	Sen. Reed	Counsel	<a href="mailto:james_ahn@reed.senate.gov">james_ahn@reed.senate.gov</a>
18 Rebecca Schatz	Sen. Menendez	Legislative Counsel	<a href="mailto:rebecca_schatz@menendez.senate.gov">rebecca_schatz@menendez.senate.gov</a>
19 Kellin Clark	Sen. Tester	Legislative Assistant	<a href="mailto:kellin_clark@tester.senate.gov">kellin_clark@tester.senate.gov</a>
20 Milan Dalal	Sen. Warner	Economic Adviser	<a href="mailto:milan_dalal@warner.senate.gov">milan_dalal@warner.senate.gov</a>
21 Rafi Martina	Sen. Warner	Policy Adviser	<a href="mailto:rafi_martina@warner.senate.gov">rafi_martina@warner.senate.gov</a>
22 Bharat Ramamurti	Sen. Warren	Counsel	<a href="mailto:bharat_ramamurti@warren.senate.gov">bharat_ramamurti@warren.senate.gov</a>
23 Craig Radcliffe	Sen. Heitkamp	Banking Legislative Assistant	<a href="mailto:craig_radcliffe@heitkamp.senate.gov">craig_radcliffe@heitkamp.senate.gov</a>
24 Nick Catino	Sen. Donnelly	Banking Legislative Assistant	<a href="mailto:nick_catino@donnelly.senate.gov">nick_catino@donnelly.senate.gov</a>
25 Mika Morse	Sen. Schatz	Legislative Counsel	<a href="mailto:mika_morse@schatz.senate.gov">mika_morse@schatz.senate.gov</a>
26 Bill Dauster	Sen. Van Hollen	Policy Director	<a href="mailto:bill_dauster@vanhollen.senate.gov">bill_dauster@vanhollen.senate.gov</a>
27 Will Ruder	Sen. Moran	Legislative Director	<a href="mailto:william_ruder@moran.senate.gov">william_ruder@moran.senate.gov</a>
28 Zack Rosenblum	Sen. Schumer	Counsel	<a href="mailto:zack_rosenblum@schumer.senate.gov">zack_rosenblum@schumer.senate.gov</a>
29 Brendan Dunn	Sen. McConnell	Economic Advisor	<a href="mailto:brendan_dunn@mcconnell.senate.gov">brendan_dunn@mcconnell.senate.gov</a>
30 Charlie Thornton	Senate Ag	Counsel	<a href="mailto:charlie_thornton@ag.senate.gov">charlie_thornton@ag.senate.gov</a>
31 Saat Alely	Sen. Scott	Legislative Assistant	<a href="mailto:saat_alely@scott.senate.gov">saat_alely@scott.senate.gov</a>
<b>House</b>			
1 Jon Blum	House Financial Services Committee	Professional Staff	<a href="mailto:jon.blum@mail.house.gov">jon.blum@mail.house.gov</a>
2 Chase Burgess	House Financial Services Committee	Legislative Assistant	<a href="mailto:chase.burgess@mail.house.gov">chase.burgess@mail.house.gov</a>
3 Rebekah Goshorn	House Financial Services Committee	Counsel	<a href="mailto:rebekah.goshorn@mail.house.gov">rebekah.goshorn@mail.house.gov</a>

4	Ed Skala	House Financial Services Committee	Policy Director	edward.skala@mail.house.gov
5	Bryan Wood	House Financial Services Committee	Counsel	bryan.wood@mail.house.gov
6	Mona Dooley	Rep. Peter King	Financial Services Legislative Assistant	mona.dooley@mail.house.gov
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9	Courtney Lincoln	Rep. Frank Lucas	Deputy Chief of Staff	courtney.lincoln@mail.house.gov
10	Brad Morris	Rep. Frank Lucas	Financial Services Legislative Assistant	brad.morris@mail.house.gov
11	Matt Mulder	Rep. Patrick McHenry	Chief Counsel	matt.mulder@mail.house.gov
12	Chris Worrell	Rep. Patrick McHenry	Financial Services Legislative Assistant	chris.worrell@mail.house.gov
13	Chris Brown	Rep. Blaine Luetkemeyer	Deputy Chief of Staff	chrisbrown@mail.house.gov
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36	Ryan Rusbuldt	Rep. Claudia Tenney	Senior Legislative Assistant	ryan.rusbuldt@mail.house.gov
37	Julia Tishman	Rep. Trey Hollingsworth	Financial Services Legislative Assistant	julia.tishman@mail.house.gov
38	Erika Jeffers	House Financial Services Committee	Senior Policy Director	erika.jeffers@mail.house.gov
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40	Ben Harney	Rep. Carolyn Maloney	Counsel	ben.harney@mail.house.gov
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49	Scott Shewcraft	Rep. Bill Foster	Legislative Director	scott.shewcraft@mail.house.gov
50	Alison Share	Rep. Dan Kildee	Legislative Director	alison.share@mail.house.gov
51	Lauren Santabar	Rep. John Delaney	Legislative Director	lauren.santabar@mail.house.gov
52	Alyssa Marois	Rep. Kyrsten Sinema	Legislative Director	alyssa.marois@mail.house.gov
53	Scott Farnin	Rep. Joyce Beatty	Financial Services Counsel	scott.farnin@mail.house.gov
54	Brendan Woodbury	Rep. Denny Heck	Legislative Director	brendan.woodbury@mail.house.gov
55	Scott Hinkle	Rep. Juan Vargas	Legislative Director	scott.hinkle@mail.house.gov
56	Mike Lukso	Rep. Josh Gottheimer	Legislative Director	michael.lukso@mail.house.gov
57	Julie Merberg	Rep. Vicente Gonzalez	Legislative Director	julie.merberg@mail.house.gov
58	Chris Fisher	Rep. Charlie Crist	Legislative Director	christopher.fisher@mail.house.gov
59	Mark Snyder	Rep. Ruben Kihuen	Legislative Director	mark.snyder@mail.house.gov
60	Paul Balzano	House Committee on Agriculture	Professional Staff	paul.balzano@mail.house.gov
61	Cameron Bishop	Rep. Austin Scott	Legislative Director	cameron.bishop@mail.house.gov
62	Darryl Blakey	House Committee on Agriculture	Legislative Assistant	darryl.blakey@mail.house.gov
63	Caleb Crosswhite	House Committee on Agriculture	Counsel	caleb.crosswhite@mail.house.gov
64	Sean Gard	Rep. Gwen Moore	Chief of Staff	sean.gard@mail.house.gov





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## Financial Markets Discussion Series Working Agenda

Weather in New York - partly cloudy; high 61, low 53  
Attire - Business

### Thursday, May 4, 2017

3:00 p.m. Depart for New York Penn Station via Amtrak Acela 2172

5:46 p.m. Arrive Penn Station

6:00 p.m. Depart New York Penn Station en route Hilton Doubletree  
Financial District

- 8 Stone Street, New York, NY 10004

6:30 p.m. Arrive Hotel and Proceed to Check-In

### Friday, May 5, 2017

8:00 a.m. Gather in Lobby of Hilton Doubletree

- Please check out of hotel prior to gathering

8:15 a.m. Luggage Drop

- Location: Hilton lobby (note: luggage will remain at Hilton for course of the day)

8:20 a.m. Depart en route 55 Water Street (4 minute walk)

8:30 – 9:00 a.m. Breakfast

9:00 – 10:00 a.m. S&P Global Presents “State of the Financial Services Sector”

- Moderated by John Kingston, Director,
- Panelists:
  - Beth Ann Bovinio, Chief U.S. Economist
  - Tracy Dolin, Director, Insurance Sector Lead
  - Carmi Margalit, Senior Director and Analytical Manager, Life Insurance
  - Devi Aurora, Senior Director and Analytical Manager, Financial Institutions
  - Stuart Plessner, Senior Director, Banks
  - Brendan Browne (Tentative), Director, Financial Institutions Ratings Group



- Staff will learn about current trends in market intelligence, as well as how S&P Global plays a key role in the financial markets.

**10:00 – 10:45 a.m. S&P Global “Spotlight on FinTech” Panel**

- Eric Turner, Financial Technology Review Analyst
- John Kingston, Moderator
- Discussion topics will include how Fintech advancements will change the way market predictions are made.

**10:45 – 11:00 a.m. Break**

**11:00 – 11:05 a.m. DTCC Background from Vice Chairman Larry Thompson**

- Mr. Thompson will provide a brief introduction to DTCC, its history, and role as a critical market infrastructure.

**11:05 – 11:35 a.m. Fintech Roundtable with DTCC Managing Director and Chief Technology Architect Rob Palatnick**

- Discussion topics will include cloud computing and advancements in Fintech. These topics are extremely timely and will assist staff with understanding developments in the technology.

**11:35 – 12:15 p.m. Networking Lunch with DTCC President and CEO, Mike Bodson**

**12:15 – 1:15 p.m. Clearance and Settlement Overview and Industry Initiatives Discussion with DTCC Managing Director and Head of Clearing Services Murray Pozmanter**

- Discussion topics will include the changing role of central counterparties in the settlement and clearing of financial transactions. As the main provider of settlement and clearing services for the U.S. capital markets, this topic is important for staff to understand and will provide a deeper insight into a lesser known aspect of the trade lifecycle.

**1:15 – 2:15 p.m. Cybersecurity Roundtable with DTCC Managing Director and Chief Information Security Officer Stephen Scharf**

- Cybersecurity is one of the most important topics of discussion on Capitol Hill and DTCC takes its role as a market risk mitigate very seriously. This panel will educate staffers on the duplicative regulatory cyber frameworks and concern around regulators protecting data.
- Other participants include:
  - Jerry Perullo, CISO, NYSE-ICE
  - Gil Vega, CISO, CME Group

**2:20 p.m. Staff depart for NYSE (10 min walk)**

- Location: 11 Wall Street

**2:30 - 3:15: Meeting with Senior NYSE business leaders from our equities, ETF, and listings groups.**

- Staff also will meet with Anthony Albanese, Chief Regulatory Officer, to discuss the NYSE Regulation side of NYSE Group. These discussions are important to staff when considering changes to exchanges.

**3:15 - 3:45 p.m. Tour of recently renovated historic space**

- Including the NYSE Big Board Club and historic office space on the 6th and 7th floors of 11 Wall

**3:45 - 4:15 p.m. Tour of the NYSE trading floor and attend the closing bell**

- It is important for staff to see what a trading floor looks like during operation in person.

**4:20 p.m. Pick up luggage at DoubleTree FiDi (5 minute walk)**

**4:30 p.m. Networking Reception**

- The Dead Rabbit Grocery and Grog – 30 Water Street

**6:00 p.m. Depart for New York Penn Station**

**7:00 p.m. Depart for Washington DC via Amtrak Acela 2171**